

92/2652  
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CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the below date:

Date: October 15, 2004 Name: Anthony P. Curtis, Ph.D. Signature:

BRINKS  
HOFFER  
GILSON  
& LIONE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Yoshihiro NISHIYAMA, et al.	Examiner:	
Serial No.:	09/834,085	Klimowicz, William J.	
Filed:	April 12, 2001	Art Unit:	2652
For:	THIN FILM MAGNETIC HEAD COMPRISING SiON FILM		
Attorney Docket No:	9281-3943	Client No.	N US00069

Mail Stop: Amendment  
Commissioner for Patents, P. O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached are:

- Transmittal Letter (in duplicate); Transmittal of Substitute Declaration (2 pgs);  
Substitute Declaration and Power of Attorney (3 pgs) along with Attachment A (1 pg);  
Designation of Attorneys to be Recognized as Being of Record (2 pgs); and**
- Return Receipt Postcard**

Fee calculation:

- No additional fee is required.
- An extension fee in an amount of \$\_\_\_\_ for a \_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).
- An additional filing fee has been calculated as shown below:

	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Small Entity		Not a Small Entity		
					Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$9=			x \$18=	
Indep.		Minus			x 43=			x \$86=	
First Presentation of Multiple Dep. Claim					+\$145=			+\$290=	
					Total	\$		Total	\$

Fee payment:

- Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.
- The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

Anthony P. Curtis, Ph.D. (Reg. No.46,193)  
Agent for Applicant

10/15/04

Date

I hereby certify that this correspondence is being deposited with the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to: MS/AF, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on:



October 15, 2004

Date of Deposit

Anthony P. Curtis, Ph.D. Reg. No.:46,193

Name of applicant, assignee or  
Registered Representative

Signature

10/KC/j04

Date of Signature

Our Case No. 9281-3943

Client Ref. No. N US00069

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	)	
Yoshihiro NISHIYAMA et al.	)	
Serial No.: 09/834,085	)	Examiner: Klimowicz, William J.
Filing Date: April 12, 2001	)	Group Art Unit: 2652
For: THIN FILM MAGNETIC HEAD	)	
COMPRISING SiON FILM	)	

## TRANSMITTAL OF SUBSTITUTE DECLARATION

MS/Amendment  
Commissioner for Patents  
Alexandria, VA 22313-1450

Dear Sir:

This paper is submitted to correct a typographical error in the spelling of the first-listed inventor. The Applicants have noted that the name of "Yoshihiro Nishiyama" was misspelled in the original declaration as "Yasuhiro"

Nishiyama". The substitute declaration corrects this error. The Applicants respectfully request that the records for this application be corrected accordingly, and regret any inconvenience that this has caused.

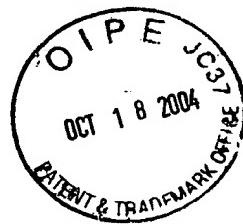
Respectfully submitted,



---

Anthony P. Curtis, Ph.D.  
Registration No. 46,193  
Agent for Applicants

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, ILLINOIS 60610  
(312) 321-4200

**SUBSTITUTE Declaration and Power of Attorney for Patent Application****特許出願宣言書及び委任状****Japanese Language Declaration****日本語宣言書**

私は、以下に記名された発明者として、ここに下記の通り宣言する：

As a below named inventor, I hereby declare that:

私の住所、郵便の宛先そして国籍は、私の氏名の後に記載された通りである。

My residence, post office address and citizenship are as stated next to my name.

下記の名称の発明について、特許請求範囲に記載され、且つ特許が求められている発明主題に関して、私は、最初、最先且つ唯一の発明者である（唯一の氏名が記載されている場合）か、或いは最初、最先且つ共同発明者である（複数の氏名が記載されている場合）と信じている。

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

**THIN FILM MAGNETIC HEAD COMPRISING****SiON FILM AND MANUFACTURING METHOD  
THEREFOR**

上記発明の明細書はここに添付されているが、下記の欄がチェックされている場合は、この限りでない：

\_\_\_\_\_ の日に出願され、  
この出願の米国出願番号またはPCT国際出願番号は、  
\_\_\_\_\_ であり、且つ  
\_\_\_\_\_ の日に補正された出願（該当する場合）

the specification of which is attached hereto unless the following box is checked:

was filed on 12/April/2001  
as United States Application Number or  
PCT International Application Number  
US App. No. 09/834,085 and was amended on  
04/Dec/2002; 05/May/2003; (if applicable).  
24/Nov/2003; 19/Apr/2004; and 18/Aug/2004

私は、上記の補正書によって補正された、特許請求範囲を含む上記明細書を検討し、且つ内容を理解していることをここに表明する。

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

私は、連邦規則法典第37編規則1.56に定義されている、特許性について重要な情報を開示する義務があることを認める。

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the need of the individual case. Any comments on the amount of time you are required to complete this form should be sent to Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner of Patents and Trademarks, Washington, DC 20231.

## Japanese Language Declaration (日本語宣言書)

私は、ここに、以下に記載した外国での特許出願または発明者証の出願、或いは米国以外の少なくとも一国を指定している米国法典第35編第365条(a)によるPCT国際出願について、同第119条(a)-(d)項又は第365条(b)項に基づいて優先権を主張するとともに、優先権を主張する本出願の出願日よりも前の出願日を有する外国での特許出願または発明者証の出願、或いはPCT国際出願については、いかなる出願も、下記の枠内をチェックすることにより示した。

## Prior Foreign Application(s)

外国での先行出願

Prior Foreign Application(s) (Number) (番号)	Japan (Country) (国名)	13/April/2000 (Day/Month/Year Filed) (出願日／月／年)	Priority Not Claimed <input type="checkbox"/> 優先権主張なし
2000-111702			<input type="checkbox"/>
(Number) (番号)	(Country) (国名)	(Day/Month/Year Filed) (出願日／月／年)	<input type="checkbox"/>

私は、ここに、下記のいかなる米国仮特許出願についても、その米国法典第35編第119条(e)項の利益を主張する。

(Application No.) (出願番号)	(Filing Date) (出願日)	(Application No.) (出願番号)	(Filing Date) (出願日)
私は、ここに、下記のいかなる米国出願についても、その米国法典第35編第120条に基づく利益を主張し、又米国を指定するいかなるPCT国際出願についても、その同第365条(c)に基づく利益を主張する。また、本出願の各特許請求の範囲の主題が、米国法典第35編第112条第1段に規定された様様で、先行する米国出願又はPCT国際出願に開示されていない場合には、その先行出願の出願日と本国内出願日またはPCT国際出願日との間の期間中に入手された情報で、連邦規則法典第37編規則1.56に定義された特許性に関する重要な情報について開示義務があることを承認する。			

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.

(Application No.) (出願番号)	(Filing Date) (出願日)	(Status: Patented, Pending, Abandoned) (現況:特許許可、係属中、放棄)
(Application No.) (出願番号)	(Filing Date) (出願日)	(Status: Patented, Pending, Abandoned) (現況:特許許可、係属中、放棄)

私は、ここに表明された私自身の知識に係わる陳述が真実であり、且つ情報と信ずることに基づく陳述が、真実であると信じられることを宣言し、さらに、故意に虚偽の陳述などを行った場合は、米国法典第18編第1001条に基づき、罰金または拘禁、若しくはその両方により処罰され、またそのような故意による虚偽の陳述は、本出願またはそれに対して発行されるいかなる特許も、その有効性に問題が生じることを理解した上で陳述が行われたことを、ここに宣言する。

I hereby claim foreign priority under Title 35, United States Code, Section 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application for which priority is claimed.

Prior Foreign Application(s) (Number) (番号)	Japan (Country) (国名)	13/April/2000 (Day/Month/Year Filed) (出願日／月／年)	Priority Not Claimed <input type="checkbox"/> 優先権主張なし
			<input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of application.

(Application No.) (出願番号)	(Filing Date) (出願日)	(Status: Patented, Pending, Abandoned) (現況:特許許可、係属中、放棄)
(Application No.) (出願番号)	(Filing Date) (出願日)	(Status: Patented, Pending, Abandoned) (現況:特許許可、係属中、放棄)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

### Japanese Language Declaration (日本語宣言書)

委任状： 私は本出願を審査する手続を行い、且つ米国特許商標庁との全ての業務を遂行するために、記名された発明者として、下記の弁護士及び／または弁理士を任命する。（氏名及び登録番号を記載すること）

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith (list name and registration number).

See Attachment A

署類送付先

Send Correspondence to:

Brinks Hofer Gilson & Lione  
P.O. Box 10395  
Chicago, IL 60610  
(312) 321-4200

直通電話連絡先：（氏名及び電話番号）

Direct Telephone Calls to: (name and telephone number)

唯一または第一発明者氏名	Full name of sole or first inventor <b>Yoshihiro Nishiyama</b>		
発明者の署名	日付	Inventor's signature	Date
		<i>Yoshihiro Nishiyama</i> August 27, 2004	
住所	Residence <b>Niigata-ken, Japan</b>		
国籍	Citizenship <b>Japan</b>		
郵便の宛先	Post Office Address <b>c/o Alps Electric Co., Ltd.</b>		
<b>1-7 Yukigaya, Otsuka-cho, Ota-ku, Tokyo, Japan</b>			
第二共同発明者がいる場合、その氏名	Full name of second joint inventor, if any <b>Yasuo Hayakawa</b>		
第二共同発明者の署名	日付	Second inventor's signature	Date
		<i>Yasuo Hayakawa</i> August 27, 2004	
住所	Residence <b>Niigata-ken, Japan</b>		
国籍	Citizenship <b>Japan</b>		
郵便の宛先	Post Office Address <b>c/o Alps Electric Co., Ltd.</b>		
<b>1-7 Yukigaya, Otsuka-cho, Ota-ku, Tokyo, Japan</b>			

（第三以下の共同発明者についても同様に記載し、署名をすること）

(Supply similar information and signature for third and subsequent joint inventors.)

## **ATTACHMENT A**

Guy W. Shoup	26,805
Gustavo Siller, Jr.	32,305
Jasper W. Dockrey	33,868
John C. Freeman	34,483
William F. Prendergast	34,699
Michael E. Milz	34,880
Tadashi Horie	40,437
Joseph F. Hetz	41,070
Jason C. White	42,223
James A. Collins	43,557
Anthony P. Curtis	46,193

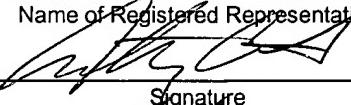
O I P E  
OCT 18 2004 JCC  
PATENT & TRADEMARK OFFICE  
I hereby certify that this correspondence is being deposited with the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA. 22313-1450, on:

October 15, 2004

Date of Deposit

Anthony P. Curtis, Ph.D., Reg. No. 46,193

Name of Registered Representative



Signature

10/15/04

Date of Signature

Our File No. 9281-3943  
Client Reference No. N US00069

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Yoshihiro NISHIYAMA

Serial No. 09/834,085

Filing Date: April 12, 2001

For: THIN FILM MAGNETIC HEAD  
COMPRISING SiON FILM

)  
)  
)  
)  
)  
)

Examiner: Klimowicz, William J.

Group Art Unit: 2652

**DESIGNATION UNDER 37 CFR § 1.32(c)(3) OF ATTORNEYS TO  
BE RECOGNIZED AS BEING OF RECORD**

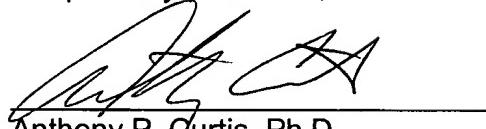
Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Pursuant to 37 CFR § 1.32(c)(3) the Applicants identify the following ten patent practitioners, which are listed in the accompanying Power of Attorney, to be recognized by the Patent Office as being of record in the above-identified application:

Guy W. Shoup	26,805
Gustavo Siller, Jr.	32,305
Jasper W. Dockrey	33,868
John C. Freeman	34,483
William F. Prendergast	34,699
Michael E. Milz	34,880
Tadashi Horie	40,437
Joseph F. Hetz	41,070
James A. Collins	43,557
Anthony P. Curtis, Ph.D.	46,193

Respectfully submitted,



\_\_\_\_\_  
Anthony P. Curtis, Ph.D.  
Reg. No. 46,193  
Agent for Applicant

BRINKS HOFER GILSON & LIONE  
P.O. Box 10395  
Chicago, IL 60610-0395  
**Customer No. 00757**